



UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

JANUARY 28, 2005

PTAS

BURNS DOANE SWECKER & MATHIS L L P
POST OFFICE BOX 1404
ALEXANDRIA, VA 22313-1404



102802930A

UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/28/2004

REEL/FRAME: 015617/0156

NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

NIKOLICS, KAROLY

DOC DATE: 05/17/2004

ASSIGNEE:

GENENTECH, INC.
1 DNA WAY
SO. SAN FRANCISCO, CALIFORNIA

94080-4990

SERIAL NUMBER: 10606745

FILING DATE: 06/27/2003

010057-058

PATENT NUMBER:

ISSUE DATE:

TITLE: IFG-1 TO IMPROVE NEURAL OUTCOME

BURNS, DOANE, SWECKER & MATHIS, L.L.P.
RECEIVED

ROTH SEC

FEB - 2 2005

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DOCKETED Clm

DOROTHY RILEY, PARALEGAL
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



102802930

Attorney's Docket No. 010057-058

To the Director of the United States Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Karoly Nikolics



Additional name(s) of conveying party(ies) attached? Yes No

3. Nature of conveyance:

- Assignment Merger
 Security Agreement Change of Name
 Other

Execution Date: May 17, 2004

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

10/606,745

B. Patent No.(s)

Additional numbers attached? Yes No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Sharon E. Crane, Ph.D.

Address:

Burns, Doane, Swecker & Mathis, L.L.P.
Customer Number 21839
P.O. Box 1404
Alexandria, Virginia 22313-1404

6. Total number of applications and patents involved: one

7. Total fee (37 CFR 3.41).....\$ 40.00

Enclosed

Authorized to be charged to deposit account

Credit card. Form PTO-2038 is attached.

8. Deposit account number:

02-4800

(Attach duplicate copy of this page if paying by deposit account.)

DO NOT USE THIS SPACE

9. Statement and Signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

R. Danny Huntington, Reg. No. 27,903

R. Danny Huntington
Signature

July 28, 2004

Date

Name of Person Signing

Total number of pages including cover sheet, attachments, and documents:

4

Mail documents to be recorded with required cover sheet information to:

Director of the United States Patent and Trademark Office / Mail Stop Assignment Recordation Services
P.O. Box 1450 / Alexandria, VA 22313-1450

JOINT ASSIGNMENTTHIS ASSIGNMENT, by Karoly Nikolicsresiding at 209 Club Drive, San Carlos, California 94070 - no longer valid624 Lakemead Way, Emerald Hills, California 94062

(hereinafter referred to as "the Assignors"), witnesseth:

WHEREAS, the Assignors have invented certain new and useful improvements in the application for Letters Patent of the United States, entitled:

IFG-1 To Improve Neural Outcome

- (1) which is a provisional application
 - (a) bearing Application No. _____, filed on _____;
 - (b) to be filed herewith; or
- (2) which is a non-provisional application
 - (a) bearing Application No. 10/606,745, filed on June 27, 2003;
 - (b) having an oath or declaration executed on even date herewith prior to filing of application;
 - (c) having an oath or declaration executed on a different date than this Assignment; and

WHEREAS, Genentech, Inc.,a corporation duly organized under and pursuant to the laws of California
and having its principal place of business at 1 DNA Way, South San Francisco, California 94080-4990

(hereinafter referred to as "the Assignee"), is desirous of acquiring the entire right, title, and interest in and to said inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications, including provisional applications for Letters Patent of the United States or other countries claiming priority to said application, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon.

NOW, THEREFORE, for good and sufficient consideration, the receipt of which is hereby acknowledged, the Assignors have sold, assigned, transferred, and set over, and by these presents do sell, assign, transfer, and set over, unto the Assignee, its successors, legal representatives, and assigns the entire right, title, and interest in and to the above-mentioned inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications for Letters Patent of the United States or other countries claiming priority to said applications, and any and all Letters Patent or Patents of the United States of America and all foreign countries that may be granted therefor and thereon, and in and to any and all applications claiming priority to said applications, divisions, continuations, and continuations-in-part of said applications, and reissues and extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by the Assignee, for its own use and behoof and the use and behoof of its successors, legal representatives, and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted as fully and entirely as the same would have been held and enjoyed by the Assignors had this sale and assignment not been made;

AND for the same consideration, the Assignors hereby covenant and agree to and with the Assignee, its successors, legal representatives, and assigns, that, at the time of execution and delivery of these presents, the Assignors are the sole and lawful owners of the entire right, title, and interest in and to the inventions set forth in said applications and said applications, including provisional applications, above-mentioned, and that the same are unencumbered, and that the Assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth;

AND for the same consideration, the Assignors hereby covenant and agree to and with the Assignee, its successors, legal representatives, and assigns that the Assignors will, whenever counsel of the Assignee, or the counsel of its successors, legal representatives, and assigns, shall advise that any proceeding in connection with said inventions or said applications for Letters Patent or Patents, or any proceeding in connection with Letters Patent or Patents for said inventions in any country, including interference proceedings, is lawful and desirable, or that any application claiming priority to said application, division, continuation, or continuation-in-part of any applications for Letters Patent or Patents, or any reissue or extension of any Letters Patent or Patents to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement, and defense of Letters Patent or Patents for said inventions, without charge to the Assignee, its successors, legal representatives, and assigns, but at the cost and expense of the Assignee, its successors, legal representatives, and assigns;

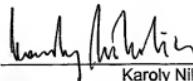
AND the Assignors hereby authorize and request the attorneys of Burns, Doane, Swecker & Mathis, L.L.P. to insert in the spaces provided above the filing date, application number, and attorney docket number of said application when known.

AND the Assignors hereby request the Director of the United States Patent and Trademark Office to issue any and all said Letters Patent of the United States to the Assignee as the Assignee of said inventions, the Letters Patent to be issued for the sole use and behoof of the Assignee, its successors, legal representatives, and assigns.

AND the Assignors hereby request the Director of the United States Patent and Trademark Office to issue any and all said Letters Patent of the United States to the Assignee as the Assignee of said inventions, the Letters Patent to be issued for the sole use and behoof of the Assignee, its successors, legal representatives, and assigns.

Date: 5/17/2004

Signature of Assignor



Karoly Nikolic

Date: _____

Signature of Assignor _____



UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

JANUARY 28, 2005

PTAS

BURNS, DOANE, SWECKER & MATHIS, L.L.P.
SHARON E. CRANE, PH.D.
P.O. BOX 1404
ALEXANDRIA, VIRGINIA 22313-1404



102802929A

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THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/28/2004

REEL/FRAME: 015618/0583

NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).
DOCKET NUMBER: 010057-058

ASSIGNOR:
GLUCKMAN, PETER

DOC DATE: 05/12/2004

ASSIGNEE:
AUCKLAND UNISERVICES LIMITED
C/-THE UNIVERSITY OF AUCKLAND
PRIVATE BAG 92019
AUCKLAND 1, NEW ZEALAND

SERIAL NUMBER: 10606745
PATENT NUMBER:
TITLE: IFG-1 TO IMPROVE NEURAL OUTCOME

FILING DATE: 06/27/2003
ISSUE DATE:

BURNS, DOANE, SWECKER & MATHIS, L.L.P.
RECEIVED

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2105
DOCKETED Cpl

ALLYSON PURNELL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

ttorney's Docket No. 010057-058

Attached original documents or copy thereof.

To the Director of the United States Patent and Trademark Office

102802929

1. Name of conveying party(ies):

Peter Gluckman



Additional name(s) of conveying party(ies) attached? Yes No

3. Nature of conveyance:

- Assignment Merger
 Security Agreement Change of Name
 Other

Execution Date: May 12, 2004

2. Name and address of receiving party(ies):

Name: Auckland Uniservices Limited
Internal Address:

Street Address:

c/- The University of Auckland
Private Bag 92019
Auckland 1, New Zealand

City: Auckland State: NZ Zip: 1

Additional name(s) & addresses attached? Yes No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

10/606,745

B. Patent No.(s)

Additional numbers attached? Yes No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Sharon E. Crane, Ph.D.

Address:

Burns, Doane, Swecker & Mathis, L.L.P.
Customer Number 21839
P.O. Box 1404
Alexandria, Virginia 22313-1404

6. Total number of applications and patents involved: one

7. Total fee (37 CFR 3.41). \$ 40.00

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Authorized to be charged to deposit account

Credit card. Form PTO-2038 is attached.

8. Deposit account number:

02-4800

(Attach duplicate copy of this page if paying by deposit account.)

DO NOT USE THIS SPACE

9. Statement and Signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

R. Danny Huntington, Reg. No. 27,903

July 28, 2004

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and documents:

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Mail documents to be recorded with required cover sheet information to:

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P.O. Box 1450 / Alexandria, VA 22313-1450

07/30/2004 DBYRME 00000080 10606745

01 FC:8021

40.00 DP

JOINT ASSIGNMENTTHIS ASSIGNMENT, by Peter Gluckmanresiding at 78 Lucerne Road, Remuera, Auckland, 5, New Zealand

(hereinafter referred to as "the Assignors"), witnesseth:

WHEREAS, the Assignors have invented certain new and useful improvements in the application for Letters Patent of the United States, entitled:

IFG-1 To Improve Neural Outcome

- (1) which is a provisional application
 - (a) bearing Application No. _____, filed on _____;
 - (b) to be filed herewith; or
- (2) which is a non-provisional application
 - (a) bearing Application No. 10/606,745, filed on June 27, 2003;
 - (b) having an oath or declaration executed on even date herewith prior to filing of application;
 - (c) having an oath or declaration executed on a different date than this Assignment; and

WHEREAS, Auckland Uniservices Limited,
a corporation duly organized under and pursuant to the laws of New Zealand,
and having its principal place of business at c/o The University of Auckland, Private bag 92019, Auckland 1, New Zealand

(hereinafter referred to as "the Assignee"), is desirous of acquiring the entire right, title, and interest in and to said inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications, including provisional applications for Letters Patent of the United States or other countries claiming priority to said application, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon.

NOW, THEREFORE, for good and sufficient consideration, the receipt of which is hereby acknowledged, the Assignors have sold, assigned, transferred, and set over, and by these presents do sell, assign, transfer, and set over, unto the Assignee, its successors, legal representatives, and assigns the entire right, title, and interest in and to the above-mentioned inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications for Letters Patent of the United States or other countries claiming priority to said applications, and any and all Letters Patent or Patents of the United States of America and all foreign countries that may be granted therefor and thereon, and in and to any and all applications claiming priority to said applications, divisions, continuations, and continuations-in-part of said applications, and reissues and extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by the Assignee, for its own use and behoof and the use and behoof of its successors, legal representatives, and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted as fully and entirely as the same would have been held and enjoyed by the Assignors had this sale and assignment not been made:

AND for the same consideration, the Assignors hereby covenant and agree to and with the Assignee, its successors, legal representatives, and assigns, that, at the time of execution and delivery of these presents, the Assignors are the sole and lawful owners of the entire right, title, and interest in and to the inventions set forth in said applications and said applications, including provisional applications, above-mentioned, and that the same are unencumbered, and that the Assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth;

AND for the same consideration, the Assignors hereby covenant and agree to and with the Assignee, its successors, legal representatives, and assigns that the Assignors will, whenever counsel of the Assignee, or the counsel of its successors, legal representatives, and assigns, shall advise that any proceeding in connection with said inventions or said applications for Letters Patent or Patents, or any proceeding in connection with Letters Patent or Patents for said inventions in any country, including interference proceedings, is lawful and desirable, or that any application claiming priority to said application, division, continuation, or continuation-in-part of any applications for Letters Patent or Patents, or any reissue or extension of any Letters Patent or Patents to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement, and defense of Letters Patent or Patents for said inventions, without charge to the Assignee, its successors, legal representatives, and assigns, but at the cost and expense of the Assignee, its successors, legal representatives, and assigns;

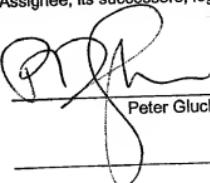
AND the Assignors hereby authorize and request the attorneys of Burns, Doane, Swecker & Mathis, L.L.P. to insert in the spaces provided above the filing date, application number, and attorney docket number of said application when known.

AND the Assignors hereby request the Director of the United States Patent and Trademark Office to issue any and all said Letters Patent of the United States to the Assignee as the Assignee of said inventions, the Letters Patent to be issued for the sole use and behoof of the Assignee, its successors, legal representatives, and assigns.

AND the Assignors hereby request the Director of the United States Patent and Trademark Office to issue any and all said Letters Patent of the United States to the Assignee as the Assignee of said inventions, the Letters Patent to be issued for the sole use and behoof of the Assignee, its successors, legal representatives, and assigns.

Date: 12 May 2004

Signature of Assignor



Peter Gluckman

Date: _____

Signature of Assignor

Patent Assignment Abstract of Title

NOTE: Results display only for issued patents and published applications. For pending or abandoned applications please consult USPTO staff.

Total Assignments: 1

Patent #: 5714460 **Issue Dt:** 02/03/1998 **Application #:** 08460365 **Filing Dt:** 06/02/1995

Inventors: PETER GLUCKMAN, KAROLY NIKOLICS

Title: IGF-1 TO IMPROVE NEURAL OUTCOME

Assignment: 1

Reel/Frame: 015612/0905

Recorded: 01/25/2005

Pages: 6

Conveyance: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

Assignor: AUCKLAND UNISERVICES LTD.

Exec Dt: 12/20/2003

Assignee: NEURONZ LTD.

LEVEL 3, 2-6 PARK AVENUE

GRAFTON, AUCKLAND, NEW ZEALAND

Correspondent: FLIESLER MEYER LLP

D. BENJAMIN BORSON, PH.D.

FOUR EMBARCADERO CENTER, FOURTH FLOOR

SAN FRANCISCO, CA 94111

Search Results as of: 07/05/2006 09:58 AM

If you have any comments or questions concerning the data displayed, contact OPR / Assignments at 571-272-3350

**RECORDATION FORM COVER SHEET
PATENTS ONLY**

U.S. DEPARTMENT OF COMMERCE

Customer No. 73910

To the Honorable Commissioners of Patents and Trademarks: Please record the attached affidavit, and let me know if you have any questions.

1. Name of conveying party: Auckland UniServices Ltd.	2. Name and address of receiving party(ies): Name: <u>NeuronZ Ltd.</u>
Additional name(s) of conveying party(ies) attached? <u>Yes</u> <input checked="" type="checkbox"/> <u>No</u>	
3. Nature of conveyance:	Address: <u>Level 3, 2-6 Park Avenue</u>
<input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Security Agreement <input type="checkbox"/> Other	<u>Merger</u> <u>Change of Name</u> <u></u>
Grafton, Auckland	
New Zealand	
Additional name(s) & address(es) attached? <u>Yes</u> <input checked="" type="checkbox"/> <u>No</u>	
Execution Date: <u>December 20, 2003</u>	
4. Application numbers or patent numbers:	
A. Patent Application No(s).:	
Application No.	
08/656,331	
6,187,906	
09/508,897	
6,204,240	
10/157,542	
5,714,460	
08/907,918	
5,861,373	
Additional numbers attached? <u>Yes</u> <input checked="" type="checkbox"/> <u>No</u>	
If this document is being filed together with a new application, the execution date of the application is:	
5. Name and address of party to whom correspondence	
concerning document should be mailed:	
Name: <u>D. Benjamin Borson, Ph.D.</u>	
Address: <u>Fleisher Meyer LLP</u>	
<u>Four Embarcadero Center, Fourth Floor</u>	
<u>San Francisco, CA 94111</u>	
Telephone: <u>(415) 362-3800</u>	
6. Total Number of applications and patents involved: <u>8</u> <input checked="" type="checkbox"/> \$40.00 each	
7. Total fee (37 CFR 3.41).....\$ <u>320.00</u>	
<input type="checkbox"/> Check Enclosed	
8. Fee Authorization. Authorization is given to	
charge any additional fees or credit any	
overpayment to Deposit Account	
No. 06-1325.	
Copy. (A duplicate copy of this authorization is	
not enclosed.)	
9. Statement and signature.	
To the best of my knowledge and belief, the foregoing information is true and correct and any attached	
copy is a true copy of the original document.	
D. Benjamin Borson, Ph.D.	
Attorney (Reg. No.: <u>42,349</u>)	
<u>J. Benjamin Borson</u>	
Signature	
January 25, 2004	
Date	
10. Total number of pages to be recorded: <u>6</u> (1 page cover sheet and <u>5</u> page document).	

Attorney Docket No.: NEUN-01003US0
dbb/neun/1003us0/auckland to neuronZ [tl], assign, recordation cover sheet w/o

CH 83320.00 061325 08666331

700148357

PATENT
REEL: 015612 FRAME: 0905

**CORPORATE TO CORPORATE
ASSIGNMENT OF PATENTS, APPLICATIONS, AND INVENTIONS**

WHEREAS, Auckland UniServices Ltd. (hereinafter termed "the Assignor"), a New Zealand company having a place of business at a New Zealand company of 70 Symonds Street, Auckland, New Zealand, is the owner of all right title and interest in the following patent applications:

Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	PCT/NZ94/00143; WO 95/17204
Attorney Docket No.	NRNZ-1002WO

Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	AU 700838
Attorney Docket No.	NRNZ-1002AU

Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	NZ 330750
Attorney Docket No.	NRNZ-1002NZ

Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	CA 2178711
Attorney Docket No.	NRNZ-1002CA

Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	CN 84185037.9

Attorney Docket No.	NRNZ-1002CN
Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	EP 85904702.8
Attorney Docket No.	NRNZ-1002EP
Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	JP 517336/95
Attorney Docket No.	NRNZ-1002JP
Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	08/656,331
Attorney Docket No.	NRNZ-1002US1
Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	08/907,818 (continuation of 08/656,331)
Attorney Docket No.	NRNZ-1002US1 C
Title:	Methods to improve neural outcome
Inventors:	Gluckman, Williams, Guan
Application No. & Publication No.:	US 6,187,908 (application number 00/332,868)
Attorney Docket No.	NRNZ-1002US2
Title:	Regulation of Neural Enzymes
Inventors:	Gluckman, Williams Guan
Application No. & Publication No.:	NZ 299511 NZ 299512

Filing Date:	NZ200513
Attorney Docket No.:	4 October 1995
	NRNZ-1003L

Title:	Regulation of Neural Enzymes
Inventors:	Gluckman, Williams Guan
Application No. & Publication No.:	PCT/NZ97/00132; WO98/14202
Attorney Docket No.:	NRNZ-1003WO

Title:	Regulation of Neural Enzymes
Inventors:	Gluckman, Williams Guan
Application No. & Publication No.:	AU 743412 CA 2267523 EP 97945108.5 JP 516411/98
Attorney Docket No.:	NRNZ-1003

Title:	Neuronal Rescue Agent (Activin)
Inventors:	Peter D. Gluckman, Christopher E. Williams, Dahao Wu, Paul Edmund Hughes, Maggie Lai
Application No. & Publication No.:	US 10/157,542; (continuation of 09/508,897)
Filing Date:	May 28, 2002
Attorney Docket No.:	NRNZ-1004US1 DBB

Title:	Neuronal Rescue Agent (Activin)
Inventors:	Peter D. Gluckman, Christopher E. Williams, Dahao Wu, Paul Edmund Hughes, Maggie Lai
Application No. & Publication No.:	09/508,897
Filing Date:	March 21, 2000
Attorney Docket No.:	1004USD

Title:	Neuronal Rescue Agent (Activin)
Inventors:	Peter D. Gluckman, Christopher E. Williams, Dahao Wu, Paul Edmund Hughes, Maggie Lai
Application No. & Publication No.:	PCT/NZ98/00139
Attorney Docket No.	1004

Title:	Neuronal Rescue Agent
Inventors:	Peter D. Gluckman, Christopher E. Williams, Dahao Wu, Paul Edmund Hughes, Maggie Lai
Application No. & Publication No.:	AU 736192
Attorney Docket No.	1004

WHEREAS, the Assignor is the joint owner of all right title and interest in the following patent applications:

Title:	IGF-1 to Improve neural condition
Inventors:	Gluckman, Williams
Application No. & Publication No.:	US 08/200,273 US 09/460,365 EP 92 917 908.3 CA 2 114 261 <u>Updated status:</u> US 5,714,460; continuation - US 5,861,373 EP 597033 B1
Attorney Docket No.	1030

Title:	TGF-beta to Improve neural outcome
Inventors:	Gluckman, Williams
Application No. & Publication No.:	US 08/232,118 US 08/488,448 EP 92 925330.0 CA 2 122 058 JP 5088167/1993

	Updated status: US 6,204,240 B1 EP 025050 B1 JP 509515/1993
Attorney Docket No.	1032

WHEREAS, PATENT PROPERTY shall include each and all of the following:

- (a) the foregoing patent applications and the inventions disclosed therein, and all embodiments of such inventions heretofore assigned to ASSIGNOR (all collectively herein referred to as "said inventions");
- (b) all rights to apply in any and all countries of the world for patents, certificates of invention or other governmental grants on said inventions, including the right to apply for patents pursuant to the International Convention for the Protection of Industrial Property or pursuant to any other convention, treaty, agreement or understanding;
- (c) any and all applications filed and any and all patents, certificates of invention or other governmental grants granted on said inventions in each and every country, including each and every application filed and each and every patent granted on any application which is a division, substitution, or continuation of any of said applications;
- (d) each and every renewal or extension of any of said patents;
- (e) each and every patent claim resulting from a reexamination certificate for any and all of said patents; and
- (f) the right to sue for and all claims for damages, profits or other recovery resulting from infringement, including past infringement, of any of the foregoing.

WHEREAS NeuronZ Ltd. (hereinafter termed "Assignee"), a New Zealand company having a place of business at Level 3, 2-8 Park Avenue, Grafton, Auckland, Country of New Zealand, is to acquire from ASSIGNOR the entire rights, title and interest in and to said Patent Property.

NOW THEREFORE, for good and valuable consideration acknowledged by said ASSIGNOR to have been received in full from said ASSIGNEE:

1. ASSIGNOR hereby sells, assigns, transfers and otherwise conveys to ASSIGNEE, and ASSIGNEE's successors, legal representatives and assigns, the entire right, title, and interest in and to the PATENT PROPERTY.
2. ASSIGNOR further agrees to execute and cause to be executed such additional instruments as may be necessary or desirable to confirm the transfer of rights as herein contemplated, to record the transfer of rights in the United States and throughout the world, and to permit ASSIGNEE, and ASSIGNEE's successors, legal representatives and assigns to enforce the PATENT PROPERTY.

IN WITNESS WHEREOF, ASSIGNOR has caused this instrument to be executed by its duly authorized corporate office and delivered to ASSIGNEE this 2nd day of December, 2003 in the Country of New Zealand.

Auckland UniServices Ltd.

By: C Brown

(Signature)

Name: Craig Brown

Title: Chief Financial Officer.

TO:ERIN M. DUNSTON COMPANY:BINGHAM MCCUTCHEN LLP



UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

APRIL 04, 2007

PTAS

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ERIN M. DUNSTON
BINGHAM MCCUTCHEN LLP
THREE EMBARCADERO CENTER
SAN FRANCISCO, CA 94111-4067

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UNITED STATES PATENT AND TRADEMARK OFFICE
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RECORDATION DATE: 04/03/2007

REEL/FRAME: 019110/0928
NUMBER OF PAGES: 10

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
NEUREN PHARMECEUTICALS, INC. DOC DATE: 08/31/2006ASSIGNEE:
GENENTECH, INC.
1 DNA WAY
SOUTH SAN FRANCISCO, CALIFORNIA

94080-4990

SERIAL NUMBER: 10606745 FILING DATE: 06/27/2003
PATENT NUMBER: ISSUE DATE:
TITLE: IFG-1 TO IMPROVE NEURAL OUTCOME

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TO:ERIN M. DUNSTON COMPANY:BINGHAM MCCUTCHEN LLP

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SHARON BROOKS, EXAMINER
ASSIGNMENT SERVICES BRANCH
PUBLIC RECORDS DIVISION

TO: ERIN M. DUNSTON COMPANY: BINGHAM MCCUTCHEN LLP

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RECORDATION FORM COVER SHEET

PATENTS ONLY

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies): Neuren Pharmaceuticals, Ltd. Level 3, 2-6 Park Avenue Grafton, Auckland PO Box 9923 Newmarket, Auckland 1031 New Zealand		2. Name and address of receiving party(ies) Genentech, Inc. 1 DNA Way South San Francisco, California 94080-4990 USA									
Additional Name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No											
3. Nature of conveyance:											
Execution Date(s) <u>September 30, 1996 and August 31, 2006</u>											
<input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Government Interest Assignment <input type="checkbox"/> Executive Order 8424, Confirmatory License <input type="checkbox"/> Other											
4. Application number(s) or patent number(s): <input type="checkbox"/> This document is being filed together with a new application. A. Patent Application No.(s) <u>U.S.S.N. 10/606,745</u>											
B. Patent No.(s)											
Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No											
5. Name and address of party to whom correspondence concerning this document should be mailed: Name: <u>Erin M. Dunston</u> Internal Address: <u>Bingham McCutchen LLP</u>		6. Total number of applications and patents involved: <u>1</u> 7. Total fee (37 CFR 1.21(h) & 3.41) <u>\$ 40.00</u> <input type="checkbox"/> Authorized to be charged by credit card <input checked="" type="checkbox"/> Authorized to be charged to deposit account <input type="checkbox"/> Enclosed <input type="checkbox"/> None required (government interest not affecting title) 									
Street Address: <u>Three Embarcadero Center</u> City: <u>San Francisco</u> State: <u>CA</u> Zip: <u>94111-4067</u>		6. Payment Information <table border="0"> <tr> <td>a. Credit Card</td> <td>Last 4 Numbers _____</td> </tr> <tr> <td colspan="2">Expiration Date _____</td> </tr> <tr> <td colspan="2">b. Deposit Account Number <u>SD-2518</u></td> </tr> <tr> <td colspan="2">Authorized User Name _____</td> </tr> </table>		a. Credit Card	Last 4 Numbers _____	Expiration Date _____		b. Deposit Account Number <u>SD-2518</u>		Authorized User Name _____	
a. Credit Card	Last 4 Numbers _____										
Expiration Date _____											
b. Deposit Account Number <u>SD-2518</u>											
Authorized User Name _____											
9. Signature: <u>Erin M. Dunston</u> Signature: <u>Erin M. Dunston</u> Name of Person Signing: <u>Erin M. Dunston</u>		April 3, 2007 Date Total number of pages including cover sheet, attachments, and documents <u>10</u>									

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Appendix 4E

Neuren Pharmaceuticals Limited ARBN 111 496 130

Preliminary final report
Financial year ended 31 December 2004

The following information is given to the ASX under listing rule 4.3A:

1. Reporting Details

Neuren Pharmaceuticals Limited ARBN 111 496 130 ("Neuren" or the "Company") presents the following information for the year ended 31 December 2004 together with comparative results for the year ended 31 December 2003.

The results for the year ended 31 December 2003 do not include the assets, liabilities and business as a going concern of NeuronZ Limited, which was acquired by Neuren with effect from 1 January 2004. Consequently, the balances for December 2003 reflect the operations of a single business and those for December 2004 reflects the combined operational business as described in Neuren's prospectus dated 15 November 2004 and the supplementary prospectus dated 23 December 2004 (together, the "Prospectus").

All amounts shown are in NZ\$'000s unless otherwise stated.

2. Results for announcement to the market

	Reported 2004 NZ\$'000	Variance to 2003 NZ\$'000	% Change
2.1 Operating Revenue	2,598	(397)	(13%)
2.2 Loss after Tax	(6,169)	(2,297)	(59%)
2.3 Net Loss	(6,169)	(2,297)	(59%)
2.4 Dividends	N/A	N/A	N/A

Operating Revenue

Contract research revenue of \$1,643,000 in 2004 includes contracts with Metabolic Pharmaceuticals Limited [ASX: MBP] and Pfizer Inc. The overall fall in contract revenue in 2004 compared to 2003 of \$1,192,000 is due to the anticipated reduction in contract research with Pfizer Inc. during the year.

Grant income in 2004 of \$945,000 (2003: nil) exceeded the Company's mid year expectations with further awards in the final quarter of 2004 and remains a strong area of focus for the Company.

Appendix 4E
Preliminary final report
Financial year ended 31 December 2004

Loss after Tax and Net Loss

The loss for 2004 includes a non cash charge of \$830,000 (2003: nil) for amortisation of intellectual property acquired in the year and costs associated with the Phase I Glypromate® trial which was successfully completed in December 2004.

Comparison of 2004 with 2003 results

The results for the year ended 31 December 2003 do not include the assets, liabilities and business as a going concern of NeuronZ Limited, which was acquired by Neuren with effect from 1 January 2004. Consequently, the balances for December 2003 reflect the operations of a single business and those for December 2004 reflects the combined operational business as described in Neuren's Prospectus. The pro forma combined loss after tax for the 12 months to 31 December 2003 disclosed within the Pro Forma Financial Information in the Prospectus was \$6,454,000.

3. Statement of Financial Performance

	Notes	12 months to 31 December 2004 NZ\$'000	12 months to 31 December 2003 NZ\$'000
Continuing Activities			
Operating revenue			
Contract research revenues		1,643	2,835
Grants		945	-
Interest income		10	160
Total operating revenue		2,598	2,995
Operating expenses			
Research		6,560	4,724
Finance and administration		2,081	1,638
Dividends on preference shares		126	505
		8,767	6,867
Operating deficit before taxation		3.1	(3,872)
Income tax		-	-
Net deficit		(6,169)	(3,872)
Net deficit per share:			
Basic	3.2	(\$0.15)	(\$1.81)
Diluted	3.2	(\$0.15)	(\$1.57)
Weighted average number of shares outstanding:			
Basic	3.2	40,165,094	2,140,448
Diluted	3.2	40,165,094	2,140,448

Appendix 4E
Preliminary final report
Financial year ended 31 December 2004

3.1 Operating Deficit before Taxation

	12 months to 31 December 2004 NZ\$'000	12 months to 31 December 2003 NZ\$'000
Operating deficit is stated after charging:		
Accounting fees	11	-
Audit fees	74	12
Other fees paid to auditors	6	20
Directors fees	65	45
Preference share dividend	126	505
Amortisation of intangibles	830	-
Profit on disposal of fixed assets	(99)	-
Legal fees	30	38
Rent expense	298	153
Depreciation		
Scientific equipment	163	63
Computer equipment	65	101
Fixtures and fittings	49	13
Leasehold improvements	8	4
Total Depreciation	285	181

3.2 Net Deficit per Share

	12 months to 31 December 2004 NZ\$'000	12 months to 31 December 2003 NZ\$'000
Basic:		
Unadjusted net deficit	(6,169)	(3,872)
Weighted average shares outstanding	40,165,094	2,140,448
Net deficit per share	(\\$0.15)	(\\$1.81)
Diluted:		
Unadjusted net deficit	(6,169)	(3,872)
Add: Preference share dividend	126	505
Adjusted net deficit	(6,043)	(3,367)
Weighted average shares outstanding:	40,165,094	2,140,448
Net deficit per share	(\\$0.15)	(\\$1.57)

Basic net deficit per share is based upon the weighted average number of outstanding ordinary shares. For the years ended 31 December 2004 and 2003, the Company's potentially dilutive common share equivalents (being the preference shares and options over ordinary shares) have an anti-dilutive effect on net deficit per share and, therefore, have not been included in determining the total weighted average number of ordinary shares outstanding for the purpose of calculating diluted net deficit per share. The effect of the ordinary share split of 1:2.548153 has been applied to the calculation of the weighted average number of outstanding ordinary shares for all periods presented.

Appendix 4E
Preliminary final report
Financial year ended 31 December 2004

4. Statement of Financial Position

	Notes	31 December 2004 NZ\$'000	31 December 2003 NZ\$'000
ASSETS			
Current assets:			
Cash and cash equivalents		343	1,400
Receivable from related parties		697	782
Deferred equity raising costs		880	-
Accounts receivable and other assets		402	270
Convertible note receivable		-	400
Total current assets		2,322	2,852
Non-current assets:			
Property, plant and equipment		72	256
Intangible assets	4.1	11,616	-
Total non current assets		11,688	256
TOTAL ASSETS		14,010	3,108
LIABILITIES AND SHAREHOLDERS' FUNDS			
Current liabilities:			
Accounts payables and accrued liabilities		4,546	1,386
Total current liabilities		4,546	1,386
Non-current liabilities:			
Long-term debt	4.2	-	7,239
Total liabilities		4,546	8,625
SHAREHOLDERS' FUNDS			
Share capital	4.3	21,158	8
Accumulated deficit	8	(11,694)	(5,525)
Total shareholders' funds (deficit)		9,464	(5,517)
TOTAL LIABILITIES AND SHAREHOLDERS' FUNDS		14,010	3,108

Appendix 4E
Preliminary final report
Financial year ended 31 December 2004

4.1 Intangible Assets		31 December 2004	31 December 2003
		NZ\$'000	NZ\$'000
Intellectual property acquired:			
Cost: Patent rights		12,446	-
Less accumulated amortisation: Patent rights		(830)	-
Intangible assets, net book value		11,616	-
4.2 Long-term Debt			
		31 December 2004	31 December 2003
		NZ\$'000	NZ\$'000
Series A preference shares issued		-	1,667
Series B preference shares issued		-	4,649
Accrued Series A and B preference share dividend		-	923
		-	7,239
4.3 Share Capital			
		31 December 2004	31 December 2003
		000's	000's
Issued share capital			
<i>Ordinary shares - number of shares</i>			
Balance at beginning of year		840	840
Shares issued to convert preference shares		5,079	-
Shares issued on acquisition of NeuronZ Limited's business		16,277	-
Shares issued during the year		2,332	-
		24,528	840
Shares issued pursuant to a share split on a 1: 2.548153 basis		37,972	-
Ordinary shares issued as at end of year		62,500	840
Issued share capital			
<i>Ordinary shares - value</i>			
Balance at beginning of year		8	8
Shares issued to convert preference shares		7,365	-
Shares issued for acquisition of NeuronZ Limited's business		11,453	-
Shares issued during the year		2,332	-
Total issued share capital		21,158	8

Appendix 4E
Preliminary final report
Financial year ended 31 December 2004

5. Statement of Cash Flows

Notes	12 months to 31 December 2004	12 months to 31 December 2003
	NZ\$'000	NZ\$'000
Cash flows to operating activities:		
Receipts from customers	1,587	2,989
Receipts from grants	867	-
Interest received	10	160
Net GST received (paid)	117	(386)
Income taxes refunded	150	-
Payments to suppliers	(5,105)	(4,352)
Payments to employees	(1,611)	(1,008)
Net cash used in operating activities	(3,985)	(2,597)
Cash flows from investing activities:		
Investment in a convertible note in NeuronZ Limited	-	(400)
Cash acquired on acquisition of the business of NeuronZ Limited	5.1	116
Proceeds from disposal of property, plant & equipment		543
Purchase of plant and equipment		(20)
Net cash used in investing activities	639	(543)
Cash flows from financing activities:		
Proceeds from ordinary share issue	2,332	-
Cash provided from financing activities	2,332	-
Net decrease in cash	(1,014)	(3,140)
Effect of exchange rate changes on cash balances	(43)	-
Cash at the beginning of the year	1,400	4,540
Cash at end of the year	343	1,400
Reconciliation with net deficit:		
Net deficit	(6,169)	(3,872)
Non-cash items requiring adjustment:		
Depreciation	285	181
Amortisation	830	-
Dividend on preference shares	126	505
Foreign exchange loss	43	-
<i>Changes in working capital:</i>		
Accounts receivable	(149)	(478)
Prepaid expenses and other current assets	(913)	199
Work in progress	-	833
Accounts payable and accruals	2,061	35
<i>Items classified as investing activities:</i>		
Profit on disposal of property, plant & equipment	(99)	-
Net cash used in operating activities	(3,985)	(2,597)

5.1 Acquisition of Business

Neuren Pharmaceuticals Limited acquired the following balances through the acquisition of the business of NeuronZ Limited as at 1 January 2004:

	12 months to 31 December 2004	NZ\$'000
Net assets acquired:		
Cash	116	
Accounts receivable	16	
Other current assets	39	
Property, plant and equipment	525	
Intellectual property	12,445	
Liabilities	<u>(1,688)</u>	
Fair value of net assets acquired	<u>11,453</u>	
Consideration paid in the form of ordinary shares issued	<u>11,453</u>	
Cash impact of acquisition	<u>116</u>	

All assets and liabilities acquired have been recognised at their fair value.

Consistent with the bioscience discovery and development nature of the assets, liabilities and business acquired, the intangible asset acquired has been treated as an identifiable intangible asset, being the intellectual property acquired.

The business acquisition has been included within the results for 2004.

6. Dividends

No ordinary share dividend or distribution payments were made in the financial year. The directors do not recommend the payment of any dividends with respect to the financial year.

The dividend on preference shares within the presented results is an accrual for cumulative dividend entitlements in accordance with the terms of the preference shares. The preference shares converted to ordinary shares on a one for one basis on 2 April 2004.

7. Dividend or Distribution Reinvestment Plan

Not applicable.

Appendix 4E
Preliminary final report
Financial year ended 31 December 2004

8. Statement of Retained Earnings

	12 months to 31 December 2004	12 months to 31 December 2003
	NZ\$'000	NZ\$'000
Net deficit for the year being total recognised revenues and expenses	(6,169)	(3,872)
Retained earnings at the beginning of the year	(5,525)	(1,653)
Retained earnings at the end of the year	(11,694)	(5,525)

9. Net Tangible Assets per Security

	31 December 2004	31 December 2003
	NZ\$	NZ\$
Net tangible assets per security	(\$0.03)	(\$2.58)

10. Control Over Entities

Name of entity	Date of control	Principal activities	Interest held	Domicile
AgVentures Limited	7 October 2003	Dormant	100%	New Zealand
NeuroendocrinZ Limited	10 July 2002	Dormant	100%	New Zealand
Neuren Pharmaceuticals Inc.	20 August 2002	US based office	100%	USA

All subsidiaries have a balance date of 31 December. The subsidiaries have had no material impact on the financial performance or position of the Company.

11. Associates and Joint Venture Entities

Not applicable.

12. Significant Information

The Company successfully completed the Initial Public Offering of 37,500,000 ordinary shares at A\$0.40 each raising A\$15,000,000 in January 2005 and was admitted to the official listing of the ASX on 3 February 2005. Consequently, the net funds raised are not included in the results presented for the financial year to 31 December 2004.

13. Accounting Standards

The financial statements of the Company are prepared in conformity with generally accepted accounting practice and accounting standards in New Zealand.

14. Commentary on the Results

As detailed in note 5.1 above, on 1 January 2004 Neuren Pharmaceuticals Limited assumed all of the significant risks and rewards of ownership of the assets, liabilities and business of NeuronZ Limited. The intellectual property acquired through this acquisition provides a platform of compounds for future development and licensing opportunities.

As stated in the Company's Prospectus, the Company intends entering Phase II trials with Glypmate® by Q3 2005 and commencing a Phase I trial with NZ-2566 by the end of 2005. Total revenue in excess of NZ\$2.2 million for the full year of 2004 has been achieved.

Earnings per share is presented in note 3.2 above and no ordinary share dividends have been declared in the year.

15. Audit Status

This report is based upon financial statements for the year ended 31 December 2004 which are in the process of being audited. The results for the year ended 31 December 2003 as presented in the report have been audited.

The Company's auditor is PricewaterhouseCoopers, Auckland and no disputes have arisen.